

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: MIN-YI SHIH, ET AL

Group Art Unit:

Serial No.:

Examiner:

Filed:

For INDEX CONTRAST ENHANCED OPTICAL
WAVEGUIDES AND FABRICATION METHODS

INFORMATION DISCLOSURE STATEMENT

- ☒ 1 **Pursuant to 37CFR 1.97(b)**
[within 3 months of national, non-CPA filing or prior to 1st Office Action] *no charge*
- ☐ 2 **Certification Pursuant to 37 CFR 1.97(c)(1)**
[before Final Office Action, Allowance, or other action closing prosecution] *no charge*
- ☐ 3 **Fee Payment Pursuant to 37 CFR 1.97(c)(2)**
[before Final Office Action, Allowance, or other action closing prosecution] *\$180.00*
- ☐ 4 **Certification & Fee Payment Pursuant to 37 CFR 1.97(d)**
[On or before issue fee payment] *\$180.00*

ATTN: BOX PATENT APPLICATION
Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

The following are submitted in the above application in compliance with 37 CFR 1.97 and 37 CFR 1.98:

- ☒ 5 A list of documents on form PTO-1449 or Substitute together with copies of each identified document and a translation thereof or a concise explanation of each non-English language document or a Search Report from an International Searching Authority for a patent application filed via the Patent Cooperation Treaty or document(s) cited in the application or the priority application.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date indicated below.

Date of Deposit_____
Type or Print Name_____
Signature

This paper is submitted in accordance with:

- ☒ 6 37 CFR 1.97(b): [within 3 months of national, non-CPA filing or prior to 1st Office Action]
- ☐ 7 37 CFR 1.97(c): [before Final Office Action, Allowance, or other action closing prosecution, whichever is earlier]; and
- ☐ 8 The required Certification made in item 11 below; or
- ☐ 9 The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 15 below.
- ☐ 10 37 CFR 1.97(d): [on or before issue fee payment]; and
- a) The required Certification is stated in item 11 below; and
- b) The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 14 below.
- ☐ 11 Certification
- ☐ 12 Each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of this Statement; or
- ☐ 13 No item contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this document after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing date of this Statement.
- ☒ 14 Payment of all applicable fees:
- ☒ 15 Please charge all applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. 07-0868

An original and two (2) copies of this document are enclosed.

Respectfully submitted,

24 July 2003

Date

General Electric Company
CRD Patent Docket Rm 4A59
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FORM PTO-1449
(REV. 7-80)
(Title Amended 3/83)

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.

134404

SERIAL NO.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT--

LIST OF ITEMS

(Use several sheets if necessary)

Applicant

MIN-YI (NMN) SHIH, ET AL

Filing Date

Group

U.S. PATENT DOCUMENTS

| *EXAMINER INITIAL | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
|----------------------|-----------------|------|------|-------|----------|-------------------------------|
| | AA | | | | | |
| | AB | | | | | |
| | AC | | | | | |
| | AD | | | | | |
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| | AK | | | | | |

FOREIGN PATENT DOCUMENTS

| | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION | |
|--|-----------------|------|---------|-------|----------|-------------|----|
| | | | | | | YES | No |
| | AL | | | | | | |
| | AM | | | | | | |
| | AN | | | | | | |
| | AO | | | | | | |
| | AP | | | | | | |

OTHER INFORMATION (Including Author, Title, Date, Pertinent pages. Etc)

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|----|---|
| AR | US PATENT APPLICATION, SERIAL NO. 10/306,439, FILED 11/27/02, ENTITLED "METHOD FOR MAKING OPTICAL STRUCTURES" BY THOMAS B. GORCZYCA, ATTORNEY DOCKET NO. 123180. |
| AS | US PATENT APPLICATION, SERIAL NO. 10/306,440 FILED 1/27/02, ENTITLED " OPTICAL DEVICE STRUCTURES BASED ON PHOTO-DEFINABLE POLYMERIZABLE COMPOSITES" BY MIN-YI SHIH, ET AL., ATTORNEY DOCKET NO. 126340. |
| AT | |

EXAMINER

DATE CONSIDERED

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.